

ADMINISTRATION

MEETINGS

Task 1.1 Attend Kick-off Meeting

The goal of this task is to establish the lines of communication and procedures for implementing this Agreement.

The Principal Investigator shall:

- Attend a “kick off” meeting with the Commission Project Manager. This meeting may be by phone or in person as appropriate and as time permits. When necessary, the Commission Project Manager may request others to participate in the meeting including the Commission Contract Manager, and a representative from the Performing Institution’s Contracts and Grants Office. The technical and administrative aspects of this Agreement will be discussed at the meeting. Prior to the kick-off meeting, the Commission Project Manager will provide an agenda to all potential meeting participants.

The administrative portion of the meeting shall include, but not be limited to, the following:

- Roles and responsibilities of both parties
- Budget changes
- Invoicing
- Prior approvals for travel and equipment
- Confidential deliverables
- Intellectual property
- Critical Project Reviews (Task 1.2) (N/A for Exploratory Grants)
- Permit documentation (Task 1.7)
- Electronic File Format (Task 1.8)
- Establish the PAC (Task 1.10) (optional) (N/A for Exploratory Grants)
- PAC Meetings (Task 1.11) (optional) (N/A for Exploratory Grants)

The technical portion of the meeting shall include, but not be limited to, the following:

- The Commission Project Manager’s expectations for accomplishing tasks described in the Scope of Work;
- An updated Schedule of Deliverables
- An updated Gantt chart if applicable
- Progress Reports (Task 1.4)
- Technical Deliverables (Task 1.5)
- Final Report (Task 1.6)

The Commission Project Manager shall designate the date and location of this meeting.

Deliverables:

- An Updated Schedule of Deliverables
- An Updated Gantt Chart
- An Updated List of Permits
- [Schedule for Recruiting PAC Members \(optional\)](#)

Task 1.2 Critical Project Review Meetings

The goal of this task is to determine if the project should continue to receive Commission funding to complete this Agreement and if it should, are there any modifications that need to be made to the tasks, deliverables, schedule or budget.

Critical Project Reviews provide the opportunity for frank discussions between the Commission and the Performing Institution. CPRs generally take place at key, predetermined points in the Agreement, as determined by the Commission Project Manager and as shown in the Technical Task List above and in the Schedule of Deliverables. However, the Commission Project Manager may schedule additional Critical Project Reviews as necessary, and, if necessary, the budget will be reallocated to cover the additional costs borne by the Performing Institution.

Participants include the Commission Project Manager and the Performing Institution, and may include the Commission Contract Manager, the Commission Contract Officer, the PIER Program Team Lead, other Commission staff and Management as well as other individuals selected by the Commission Project Manager to provide support to the Commission.

The Commission Project Manager shall:

- Determine the location, date and time of each Critical Project Review meeting with the Performing Institution. These meetings generally take place at the Energy Commission, but they may take place at another location.
- Send the Performing Institution the agenda and a list of expected participants in advance of each Critical Project Review. If applicable, the agenda shall include a discussion on both match funding and permits.
- Conduct and make a record of each Critical Project Review meeting. One of the outcomes of this meeting will be a schedule for providing the written determination described below.
- Determine whether to continue the project, and if continuing, whether or not to modify the tasks, schedule, deliverables and budget for the remainder of the Agreement, including not proceeding with one or more tasks. If the Commission Project Manager concludes that the project needs a formal amendment or that satisfactory progress is not being made and the project needs to be ended, these conclusions will be referred to the Commission's Research, Development and Demonstration Policy Committee for its concurrence.
- Provide the Performing Institution with a written determination in accordance with the schedule. The written response may include a requirement for the Performing Institution to revise one or more deliverables that were included in the Critical Project Review.

The Performing Institution shall:

- Prepare a Critical Project Review Memorandum for each Critical Project Review that discusses the progress of the Agreement toward achieving its goals and objectives. This memorandum shall be submitted along with any other deliverables identified in this Scope of Work. Submit these documents to the Commission Project Manager and any other designated reviewers at least 10 working days in advance of each Critical Project Review meeting.
- Present the required information at each Critical Project Review meeting and participate in a discussion about the Agreement.

Performing Institution Deliverables:

- Critical Project Review Memorandum(Memoranda)
- Critical Project Review deliverables identified in this Scope of Work

Commission Project Manager Deliverables:

- Agenda and a List of Expected Participants
- Schedule for Written Determination
- Written Determination

Task 1.3 Final Meeting

The goal of this task is to close out this Agreement.

The Principal Investigator shall:

- Meet with the Commission to present the findings, conclusions, and recommendations. The final meeting must be completed during the closeout of this Agreement.

This meeting will be attended by, at a minimum, the Performing Institution, the Commission Contracts Officer, and the Commission Project Manager. The technical and administrative aspects of Agreement closeout will be discussed at the meeting, which may be two separate meetings at the discretion of the Commission Project Manager.

The technical portion of the meeting shall present findings, conclusions, and recommended next steps (if any) for the Agreement. The Commission Project Manager will determine the appropriate meeting participants.

The administrative portion of the meeting shall be a discussion with the Commission Project Manager and the Contracts Officer about the following Agreement closeout items:

- Commission's request for specific "generated" data (not already provided in Agreement deliverables)
- Need to document Performing Institution's disclosure of "subject inventions" developed under the Agreement

- “Surviving” Agreement provisions, such as repayment provisions and confidential deliverables.
 - Final invoicing and release of retention
- Prepare a schedule for completing the closeout activities for this Agreement.

Deliverables:

- Written documentation of meeting agreements and all pertinent information
- Schedule for completing closeout activities

REPORTING

Task 1.4 Progress Reports

The goal of this task is to periodically verify that satisfactory and continued progress is made towards achieving the research objectives of this Agreement.

The Performing Institution shall:

- Prepare progress reports which summarize all Agreement activities conducted by the Performing Institution for the reporting period, including an assessment of the ability to complete the Agreement within the current budget and any anticipated cost overruns. Each progress report is due to the Commission Project Manager within 5 working days after the end of the reporting period. Attachment A-1, Progress Report Format, provides the recommended specifications.

Deliverables:

- Quarterly Progress Reports

Task 1.5 Test Plans, Technical Reports and Interim Deliverables

The goal of this task is to set forth the general requirements for submitting test plans, technical reports and other interim deliverables. Unless described differently in the Technical Tasks,

The Performing Institution shall:

- Submit a draft of each deliverable listed in the Technical Tasks to the Commission Project Manager for review and comment in accordance with the approved Schedule of Deliverables. The Commission Project Manager will provide written comments back to the Performing Institution on the draft deliverable within 5 working days of receipt. Once agreement has been reached on the draft, the Performing Institution shall submit the final deliverable to the Commission Project Manager. The Commission Project Manager shall provide written approval of the final deliverable within 2 working days of receipt. Key elements from this deliverable shall be included in the Final Report for this project.
- Submit two copies of the final deliverable with the next invoice.

Task 1.6 Final Report

The goal of this task is to prepare a comprehensive written Final Report that describes the original purpose, approach, results and conclusions of the work done under this Agreement. The Commission Project Manager will review and approve the Final Report. The Final Report must be completed on or before the termination date of the Agreement. Attachment A-2, Final Report Format, provides the recommended specifications.

The Final Report shall be a public document. If the Performing Institution has obtained confidential status from the Commission and will be preparing a confidential version of the Final Report as well, the Performing Institution shall perform the following subtasks for both the public and confidential versions of the Final report.

Task 1.6.1 Final Report Outline

The Performing Institution shall:

- Prepare a draft outline of the Final Report.
- Submit the draft outline of Final Report to the Commission Project Manager for review and approval. The Commission Project Manager will provide written comments back to the Performing Institution on the draft outline within 5 working days of receipt. Once agreement has been reached on the draft, the Performing Institution shall submit the final outline to the Commission Project Manager. The Commission Project Manager shall provide written approval of the final outline within 2 working days of receipt.
- Submit two copies of the final report outline with the next invoice.

Deliverables:

- Draft Outline of the Final Report
- Final Outline of the Final Report

Task 1.6.2 Final Report

The Performing Institution shall:

- Prepare the draft Final Report for this Agreement in accordance with the approved outline.
- Submit the draft Final Report to the Commission Project Manager for review and comment. The Commission Project Manager will provide written comments within 10 working days of receipt.

Once agreement on the draft Final Report has been reached, the Commission Project Manager shall forward the electronic version of this report to the PIER Technology Transfer Group for final editing. Once final editing is completed, the Commission Project Manager shall provide written approval to the Performing Institution within 2 working days.

- Submit one bound copy of the Final Report with the final invoice.

Deliverables:

- Draft Final Report
- Final Report

PERMITS AND ELECTRONIC FILE FORMAT**Task 1.7 Identify and Obtain Required Permits**

The goal of this task is to obtain all permits required for work completed under this Agreement in advance of the date they are needed to keep the Agreement schedule on track.

Permit costs and the expenses associated with obtaining permits are reimbursable under this Agreement. Permits must be identified in writing before the Performing Institution can incur any costs related to the use of the permit(s) for which the Performing Institution will request reimbursement.

The Performing Institution shall:

- Prepare a letter documenting the permits required to conduct this Agreement and submit it to the Commission Project Manager at least 2 working days prior to the kick-off meeting:
 1. If there are no permits required at the start of this Agreement, then state such in the letter.
 2. If it is known at the beginning of the Agreement that permits will be required during the course of the Agreement, provide in the letter:
 - A list of the permits that identifies the:
 - Type of permit
 - Name, address and telephone number of the permitting jurisdictions or lead agencies
 - Schedule the Performing Institution will follow in applying for and obtaining these permits
- The list of permits and the schedule for obtaining them will be discussed at the kick-off meeting, and a timetable for submitting the updated list, schedule and the copies of the permit(s) will be developed. The implications to the Agreement if the permits are not obtained in a timely fashion or are denied will also be discussed. If applicable, permits will be included as a line item in the progress reports and will be a topic at Critical Project Review meetings.
- If during the course of the Agreement additional permits become necessary, then provide the appropriate information on each permit and an updated schedule to the Commission Project Manager.
- As permits are obtained, send a copy of each approved permit to the Commission Project Manager.

- If during the course of the Agreement permits are not obtained on time or are denied, notify the Commission Project Manager within 5 working days. Either of these events may trigger an additional Critical Project Review.

Deliverables:

- A Letter Documenting the Permits
- Updated List of Permits as They Change During the Term of the Agreement
- Updated Schedule for Acquiring Permits as It Changes During the Term of the Agreement
- A Copy of Each Approved Permit

Task 1.8 Electronic File Format

The goal of this task is to unify the formats of electronic data and documents provided to the Commission as contract deliverables. Another goal is to establish the computer platforms, operating systems and software that will be required to review and approve all software deliverables.

The Performing Institution shall:

- Deliver documents to the Commission Project Manager in the following formats:
- Data sets shall be in Microsoft (MS) Access or MS Excel file format.
- PC-based text documents shall be in MS Word file format.
- Documents intended for public distribution shall be in PDF file format, with the native file format provided as well.
- Project management documents shall be in MS Project file format.
- Request exemptions to software standardization in writing at least 90 days before the deliverable is submitted.

Deliverables:

- A Letter Requesting Exemption from Software Standardization (if applicable)

PROJECT ADVISORY COMMITTEE (Optional)

Task 1.9 Establish the Project Advisory Committee

The goal of this task is to create an advisory committee for this Agreement.

The PAC should be composed of diverse professionals. The number can vary depending on potential interest and time availability. The Contractor's Project Director and the Commission Contract Manager shall act as co-chairs of the PAC. The exact composition of the PAC may change as the need warrants. PAC members serve at the discretion of the Commission Contract Manager.

The PAC may be composed of qualified professionals spanning the following types of disciplines:

- Researchers knowledgeable about the project subject matter
- Members of the trades who will apply the results of the project (e.g. designers, engineers, architects, contractors, and trade representatives)

- Public Interest Market Transformation Implementers
- Product Developers relevant to project subject matter
- DOE Research Manager
- Public Interest Environmental Groups
- Utility Representatives
- Members of the relevant technical society committees

The purpose of the PAC is to:

- Provide guidance in research direction. The guidance may include scope of research; research methodologies; timing; coordination with other research. The guidance may be based on:
 - technical area expertise
 - knowledge of market applications
 - linkages between the contract work and other past, present or future research (both public and private sector) they are aware of in a particular area
- Review deliverables. Provide specific suggestions and recommendations for needed adjustments, refinements, or enhancement of the deliverables.
- Evaluate tangible benefits to California of this research and provide recommendations, as needed, to enhance tangible benefits.
- Provide recommendations regarding information dissemination, market pathways or commercialization strategies relevant to the research products.

The Performing Institution shall:

- Prepare a draft list of potential PAC members that includes name, company, physical and electronic address, and phone number and submit it to the Commission Contract Manager at least 2 working days prior to the kick off meeting. This list will be discussed at the Kick-off Meeting and a schedule for recruiting members and holding the first PAC meeting will be developed.
- Recruit PAC members and ensure that each individual understands the member obligations described below, as well as the meeting schedule outlined in Task 1.11.
- Prepare the final list of PAC members.
- Submit letters of acceptance or other comparable documentation of commitment for each PAC member.

Deliverables:

- Draft List of PAC Members
- Final List of PAC Members
- Letters of Acceptance, or Other Comparable Documentation of Commitment for Each PAC Member

Task 1.10 Conduct Project Advisory Committee Meetings

The goal of this task is for the PAC to provide strategic guidance to this project by participating in regular meetings or teleconferences.

The Performing Institution shall:

- Discuss the PAC meeting schedule at the kick-off meeting. The number of face-to-face meetings and teleconferences and the location of PAC meetings shall be determined in consultation with the Commission Contract Manager. This draft schedule shall be presented to the PAC members during recruiting and finalized at the first PAC meeting.
- Organize and lead PAC meetings in accordance with the schedule. Changes to the schedule must be pre-approved in writing by the Commission Contract Manager.
- Prepare PAC meeting agenda(s) with back-up materials for agenda items.
- Prepare PAC meeting summaries, including recommended resolution of major PAC issues.

Deliverables:

- Draft PAC Meeting Schedule
- Final PAC Meeting Schedule
- PAC Meeting Agenda(s) with Back-up Materials for Agenda Items
- Written PAC Meeting Summaries, Including Recommended Resolution of Major PAC Issues